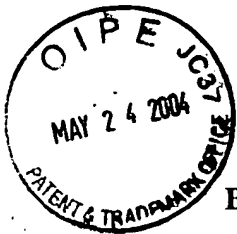


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
BEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES

Dayton, Ohio

Docket No. 8378.00

Application of

MAY 20 2004

Robert J. Tramontano

Serial No. 09/481,766

Group Art Unit: 2172

Filed: January 11, 2000

Examiner: Cam Y.T. Truong

For: DATA WAREHOUSE APPLICATIONS FOR  
NETWORKS OF SELF-SERVICE MACHINES

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria VA 22313-1450 on MAY 20 2004 (Date of Deposit).

*Shirley Doll*  
Shirley Doll

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**APPEAL BRIEF**

Sir:

This Appeal Brief is in furtherance of the Notice of Appeal filed in this case on May 10, 2004. Three copies of the Appeal Brief are filed herewith. Authorization is given to charge deposit account number 14-0225 for the fee under 37 C.F.R. 1.17 for filing the Appeal Brief.

(1) **REAL PARTY IN INTEREST**

The present application is assigned to NCR Corporation of Maryland.

(2) **RELATED APPEALS AND INTERFERENCES**

None.

**(3) STATUS OF ALL CLAIMS**

The above-identified patent application was filed on January 11, 2000 with claims 1-35. In response to an Office Action mailed on February 14, 2002, claim 2 was canceled and claims 1 and 3-7 were amended. In response to a final Office Action mailed on July 17, 2002, claims 1, 3, 4, 9, 17, 21, and 35 were amended. In response to an Advisory Action mailed on September 24, 2002, a Notice of Appeal was filed on October 10, 2002 and an Appeal Brief was filed on December 10, 2002. In response to an Office Action mailed on February 27, 2003, no claims were canceled or amended. In response to a final Office Action mailed on July 25, 2003, claims 1 and 3-35 were canceled, and new claims 36-41 were added. In response to an Office Action mailed on November 21, 2003, no claims were canceled or amended. In response to a final Office Action mailed on April 1, 2004, a Notice of Appeal was filed on May 10, 2004. Thus, claims 36-41 stand rejected.

Claims 36-41 are being appealed and are attached as an appendix to this Appeal Brief.

**(4) STATUS OF ALL AMENDMENTS FILED SUBSEQUENT TO FINAL REJECTION**

No amendments were filed subsequent to final rejection.

**(5) CONCISE SUMMARY OF THE INVENTION**

An automated teller machine (ATM) system comprises a first ATM 102 including (i) at least one data storage device 202, and (ii) a relational database management system 206 for maintaining a relational database 208 which is stored on the data storage device, and which contains information about each customer in a first set of customers who frequent the first ATM to conduct transactions at the first ATM (see Figures 1 and 2; page 2, line 26 to page 2, lines 1 and 2; page 3, lines 10-17; and page 5, lines 1-9 of the specification). The ATM system further comprises a second ATM 102 including (i) at least one data storage device 202, and (ii) a relational database management system 206 for maintaining a relational database 208 which is stored on the data storage device, and which contains information about each customer in a

second set of customers who frequent the second ATM to conduct transactions at the second ATM (see Figures 1 and 2; page 2, line 26 to page 2, lines 1 and 2; page 3, lines 10-17; and page 5, lines 1-9 of the specification).

The ATM system also comprises a transaction processing system 104 for (i) processing transactions conducted by the first set of customers at the first ATM, (ii) processing transactions conducted by the first set of customers at the second ATM, (iii) processing transactions conducted by the second set of customers at the first ATM, and (iv) processing transactions conducted by the second set of customers at the second ATM (see Figures 1 and 2; page 3, lines 2-5 and lines 23-27 of the specification). The ATM system further comprises a data warehouse 106 which (i) collects and stores customer information from each transaction processed by the transaction processing system, (ii) transmits to the first ATM information about any transaction conducted by the first set of customers at the second ATM, and (iii) transmits to the second ATM information about any transaction conducted by the second set of customers at the first ATM (see Figures 1-4; page 3, lines 5-9; page 6, lines 8-15 and lines 19-26 of the specification).

By providing the ATM system of the present invention, each ATM executes a relational database management system that maintains a relational database stored at that particular ATM. The relational databases of the ATMs are partitions of a global relational database and each partition stores information for only those ATM customers that frequent the particular ATM. The relational databases of the ATMs are used to more effectively serve each ATM customer at a particular ATM and to market products and services to the particular ATM customer at the particular ATM (see page 7, lines 14-20 of the specification).

## **(6) THE REJECTION**

Claim 36 is rejected under 35 U.S.C. §103(a) as being unpatentable over U.S. Patent No. 5,412,806 to Du et al. (referred to herein as "Du") in view of U.S. Patent No. 5,930,764 to Melchione et al. (referred to herein as "Melchione").

Claim 37 is rejected under 35 U.S.C. §103(a) as being unpatentable over Du in view of Melchione, and further in view of U.S. Patent No. 5,758,355 to Buchanan.

Claim 38 is rejected under 35 U.S.C. §103(a) as being unpatentable over Du in view of U.S. Patent No. 5,926,816 to Bauer et al. (referred to herein as "Bauer").

Claims 39 and 40 are rejected under 35 U.S.C. §103(a) as being unpatentable over Du in view of Buchanan, and further in view of U.S. Patent No. 6,505,177 to Drummond et al. (referred to herein as "Drummond").

Claim 41 is rejected under 35 U.S.C. §103(a) as being unpatentable over Du in view of Drummond.

**(7) GROUPING OF CLAIMS FOR EACH GROUND OF REJECTION WHICH APPLICANT CONTEST**

Claims 36-40 are grouped together.

Claim 41 is grouped separately.

**(8) CONCISE STATEMENT OF ALL ISSUES PRESENTED FOR REVIEW**

An issue presented for review is whether claims 36-40 are patentable over Du in view of other references (i.e., Melchione, Buchanan, Bauer, and/or Drummond) applied by the Examiner.

Another issue presented for review is whether claim 41 is patentable over Du in view of Drummond.

**(9) APPLICANT'S POSITION**

Applicant believes that each of claims 36-41 of the present application is patentable over the prior art including the prior art references of record.

**Claims 36-40**

Applicant would like to respectfully point out that the rejection of claims 36-40 is incorrect for reasons explained hereinbelow.

First, Du discloses a distributed banking system which is not an automated teller machine (ATM) system as recited in each of claims 36-40.

Second, each of claims 36-40 is directed to an ATM system which comprises a first ATM and a second ATM. Du does not even disclose one ATM, let alone two ATMs.

Third, since Du does not even disclose a single ATM, Du cannot disclose first and second ATMs each of which includes the elements recited in each of claims 36-40.

Applicant has respectfully requested that the Examiner (i) explain how a distributed banking system, as disclosed in Du, is an ATM system, as recited in each of claims 36-40, (ii) specifically point out where Du discloses even one ATM, let alone two ATMs, and (iii) specifically point out where Du discloses each element of each of the first and second ATMs, as recited in each of claims 36-40. However, the Examiner has provided no explanations. Accordingly, it is respectfully submitted that the rejection of claims 36-40 is improper and, therefore, should be withdrawn.

**Claim 41**

Applicant would like to respectfully point out that the rejection of claim 41 is improper for reasons explained hereinbelow.

Claim 41 recites an automated teller machine (ATM) for enabling an ATM customer to carry out an ATM transaction. The ATM comprises means for receiving a card from an ATM customer to validate identity of the ATM customer before allowing the ATM customer to carry out an ATM transaction. The ATM further comprises at least one local data storage device which stores a local relational database which stores information on each ATM customer that frequents this ATM to carry out an ATM transaction so that each of these ATM customers can be more effectively served whenever the particular ATM customer carries out an ATM transaction at this ATM. The ATM also comprises an executable local relational

database management system (RDBMS) for, when executed, maintains the local relational database.

Du clearly does not disclose or suggest an automated teller machine (ATM) for enabling an ATM customer to carry out an ATM transaction, wherein the ATM comprises, inter alia, at least one local data storage device which stores a local relational database which stores information on each ATM customer that frequents this ATM to carry out an ATM transaction so that each of these ATM customers can be more effectively served whenever the particular ATM customer carries out an ATM transaction at this ATM, and an executable local relational database management system (RDBMS) for, when executed, maintains the local relational database.

Applicant has respectfully requested that the Examiner specifically point out where Du discloses an ATM which includes each of the specific elements recited in claim 41. However, the Examiner has provided no explanations. Accordingly, it is submitted that the rejection of claim 41 is improper and, therefore, should be withdrawn.

**(10) CONCLUSION**

In view of the forgoing reasons, it is clear that the rejection of claims 36-41 under 35 U.S.C. Section 103(a) is improper and, therefore, should be withdrawn. It is respectfully requested that the Board reverse the rejection of claims 36-41.

Respectfully submitted,



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**(11) APPENDIX**

36. (previously presented): An automated teller machine (ATM) system, comprising:

a first ATM including (i) at least one data storage device, and (ii) a relational database management system for maintaining a relational database which is stored on the data storage device, and which contains information about each customer in a first set of customers who frequent the first ATM to conduct transactions at the first ATM;

a second ATM including (i) at least one data storage device, and (ii) a relational database management system for maintaining a relational database which is stored on the data storage device, and which contains information about each customer in a second set of customers who frequent the second ATM to conduct transactions at the second ATM;

a transaction processing system for (i) processing transactions conducted by the first set of customers at the first ATM, (ii) processing transactions conducted by the first set of customers at the second ATM, (iii) processing transactions conducted by the second set of customers at the first ATM, and (iv) processing transactions conducted by the second set of customers at the second ATM; and

a data warehouse including (i) means for collecting and storing customer information from each transaction processed by the transaction processing system, (ii) means for transmitting to the first ATM information about any transaction conducted by the first set of customers at the second ATM, and (iii) means for transmitting to the second ATM information about any transaction conducted by the second set of customers at the first ATM.

37. (previously presented): An ATM system of claim 36, wherein each of the ATMs includes means for capturing detailed data about a customer's interaction for use both locally at the ATM and globally at the data warehouse.

38. (previously presented): An automated teller machine (ATM) system, comprising:

a first ATM including a data storage device and a relational database management system for maintaining a relational database stored on the data storage device, the relational database containing customer information about a first set of customers, where each customer in the first set of customers frequents the first ATM;

a second ATM including a data storage device and a relational database management system for maintaining a relational database stored on the data storage device, the relational database containing information about a second set of customers, where each customer in the second set of customers frequents the second ATM;

a transaction processing system for processing transactions conducted at the first and second ATMs; and

a data warehouse including (i) means for communicating with the transaction processing system to retrieve transactions executed at the first and second ATMs, and (ii) means for synchronizing customer information between the data warehouse and each of the first and second ATMs thereby enabling the first ATM to obtain information about transactions conducted by the first set of customers at the second ATM, and enabling the second ATM to obtain information about transactions conducted by the second set of customers at the first ATM.

39. (previously presented): An automated teller machine (ATM) system comprising:

a first ATM including (i) means for receiving a card from an ATM customer to identify the ATM customer before allowing the ATM customer to carry out an ATM transaction at this ATM, (ii) a local data storage device which stores a local relational database which stores customer-specific information each time the ATM customer frequents this ATM to carry out an ATM transaction at this ATM, (iii) an executable local relational database management system (RDBMS) for, when executed, updating the customer-specific information stored in the local relational database stored in the local data storage device of

this ATM, and (iv) a local processor for executing the RDBMS to update the customer-specific information stored in the local relational database stored in the local data storage device of this ATM each time the ATM customer carries out an ATM transaction at this ATM;

a second ATM including (i) means for receiving a card from the ATM customer to identify the ATM customer before allowing the ATM customer to carry out an ATM transaction at this ATM, (ii) a local data storage device which stores a local relational database which stores customer-specific information each time the ATM customer frequents this ATM to carry out an ATM transaction at this ATM, (iii) an executable local relational database management system (RDBMS) for, when executed, updating the customer-specific information stored in the local relational database stored in the local data storage device of this ATM, and (iv) a local processor for executing the RDBMS to update the customer-specific information stored in the local relational database stored in the local data storage device of this ATM each time the ATM customer carries out an ATM transaction at this ATM;

a transaction processing system for processing each ATM transaction carried out by the ATM customer at the first ATM and for processing each ATM transaction carried out by the ATM customer at the second ATM; and

a data warehouse system including (i) means for uploading from the local data storage device of the first ATM at least some customer-specific information associated with ATM transactions which have been carried out by the ATM customer at the first ATM, and (ii) means for downloading to the local data storage device of the second ATM the at least some customer-specific information which has been uploaded from the local data storage device of the first ATM to update the customer-specific information stored in the local relational database stored in the local data storage device of the second ATM so that the ATM customer can be more effectively served at the second ATM when the ATM customer carries out an ATM transaction in the future at the second ATM.

40. (previously presented): An automated teller machine (ATM) system comprising:

a first ATM including (i) means for receiving a card from an ATM customer to identify the ATM customer before allowing the ATM customer to carry out an ATM transaction at this ATM, and (ii) means for providing customer-specific information associated with the ATM transaction when the ATM customer carries out the ATM transaction at this ATM;

a second ATM including (i) means for receiving a card from the ATM customer to identify the ATM customer before allowing the ATM customer to carry out an ATM transaction at this ATM, (ii) a local data storage device which stores a local relational database which stores customer-specific information each time the ATM customer frequents this ATM to carry out an ATM transaction at this ATM, (iii) an executable local relational database management system (RDBMS) for, when executed, updating the customer-specific information stored in the local relational database stored in the local data storage device of this ATM, and (iv) a local processor for executing the RDBMS to update the customer-specific information stored in the local relational database stored in the local data storage device of this ATM each time the ATM customer carries out an ATM transaction at this ATM;

a transaction processing system for processing each ATM transaction carried out by the ATM customer at the first ATM and for processing each ATM transaction carried out by the ATM customer at the second ATM; and

a data warehouse system including (i) means for retrieving from the first ATM the customer-specific information associated with the ATM transaction which has been carried out by the ATM customer at the first ATM, and (ii) means for downloading to the local data storage device of the second ATM the at customer-specific information which has been retrieved from the first ATM to update the customer-specific information stored in the local relational database stored in the local data storage device of the second ATM so that the ATM customer can be more effectively served at the second ATM when the ATM customer carries out an ATM transaction in the future at the second ATM.

41. (previously presented): An automated teller machine (ATM) for enabling an ATM customer to carry out an ATM transaction, the ATM comprising:

means for receiving a card from an ATM customer to validate identity of the ATM customer before allowing the ATM customer to carry out an ATM transaction;

at least one local data storage device which stores a local relational database which stores information on each ATM customer that frequents this ATM to carry out an ATM transaction so that each of these ATM customers can be more effectively served whenever the particular ATM customer carries out an ATM transaction at this ATM; and

an executable local relational database management system (RDBMS) for, when executed, maintains the local relational database.